

Headquarters “As Is” Report Executive Summary

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Element 1.3.1 of the work breakdown structure (WBS) for the Office of Science (SC) Restructuring Project addresses the roles, responsibilities, authorities, and accountabilities (R2A2s) for SC Offices in the two Headquarters (HQ) locations (Washington, D.C. and Germantown, Maryland). This report summarizes the “as is” condition for the Office of the Director; the five SC Program Offices [Basic Energy Sciences (SC-10), High Energy and Nuclear Physics (SC-20), Advanced Scientific Computing Research (SC-30), Fusion Energy Sciences (SC-50), Biological and Environmental Research (SC-70)]; two of the four HQ Staff Offices [Planning and Analysis (SC-5), Laboratory Policy (SC-7)], and the Office of the Executive Director (SC-4)]. While SC-4 is technically part of the Director’s Office, it was treated separately for clarity since its roles and responsibilities are significantly different from those of the Director. The Offices of Resource Management (SC-60) and Laboratory Operations and Environment, Safety and Health (SC-80) are addressed under WBS Element 1.3.3 (Support Centers) since their R2A2s are similar to those of the two SC Operations Offices.

The following process was developed to catalog the present “as is” R2A2s and the future (“to be”) R2A2s. The HQ Team was formed; team members are listed in Attachment 1. The Team catalogued the “as is” condition for each organization at the Associate/Office and Division Director levels. Reference documents used to determine R2A2s included organization charts, position descriptions, mission and function statements, *Histories and Authorities of the Office of Science* (Office of Planning and Analysis, March 2002), the 2002 SC Information Technology Business Model, and the Activity Based Costing Team Report (February 1996). Many position descriptions and mission and function statements were out of date; many had not been updated in 3-5 years. Input was therefore also obtained from 26 interviews with HQ managers and staff. Since it was not possible to interview all HQ personnel, a questionnaire was distributed to all staff. Their responses are also reflected in the content of the HQ report.

Attachment 2 contains the “As Is” R2A2 Tables for the nine organizations falling under WBS Element 1.3.1. R2A2s common to each Program Office are recorded in a single table entitled “Generic Headquarters Program Office”. R2A2s unique to specific Program Offices are listed in separate tables. The HQ Team determined that the principal Headquarters functions are Advance Science and Technology, Set Strategic Direction, Budget Formulation/Enactment, Budget Execution, Science Infrastructure Stewardship, Advocacy, Oversight, and Management. References to the orders, directives, regulations, and laws listed under authorities in the R2A2 Tables are not intended to be complete; hopefully the most relevant are noted.

The “as is” R2A2s were then rolled up into functions and activities performed by HQ organizations, and entered into a Functions and Activities Matrix (Attachment 3). The R2A2 Tables and the Functions and Activities Matrix were reviewed by members of the HQ Team and the Associate and Office Directors to ensure that all R2A2s, functions,

and activities were identified and were accurate. They were completed on October ____, 2002.

Research conducted by the HQ Team is recorded in a report that describes the current SC structure, why it exists, and how it functions. Chapter I (Attachment 5) outlines the legislation that created the Office of Science and established its principal function, Advance Science and Technology. A more comprehensive legislative history can be found in *Histories and Authorities of the Office of Science*, published by the Office of Planning and Analysis in March 2002 (Attachment 4).

Chapter II (Attachment 6) outlines how HQ carries out legislated responsibilities and how orders, directives, regulations, and other laws affect implementation. The Budget Formulation, Enactment, and Execution Functions for SC research programs are discussed in detail in this Chapter.

Chapter III describes how SC HQ is organized now and the R2A2s of each unit. It consists of this Executive Summary, the R2A2 Tables, and the Functions and Activities Matrix.

The HQ Team determined that additional information was needed before restructuring of the HQ organization and reengineering HQ processes could be considered. Chapter IV (Attachment 7) describes the formal and informal HQ-Field relationships that make SC work. Chapter V (Attachment 8) summarizes the information obtained from the in-depth interviews and questionnaire responses. It discusses some of the major frustrations that people have because of processes and procedures that cause work to be done inefficiently or non-productive work to be done. The information in Chapters IV and V is also intended to provide input to the Support Center Team (WBS Element 1.3.3) and the DOE Business System Team (WBS 1.4.2).

Principal findings/observations discussed in Chapter IV include:

- The Berkeley and the Stanford Linear Accelerator Center Site Offices report formally to the Deputy Director for Operations (SC-3), but SC-80 most frequently deals with operational issues.
- Confusion over roles, responsibilities, and accountabilities still exists under the Lead Program Secretarial Office concept (LPSO) at sites where multiple Program Secretarial Officers (PSO) and Cognizant Secretarial Officers are involved.
- Informal relationships between Functional HQ Offices and Field Offices are helpful in understanding the directions in which the Department is moving. Sometimes HQ remarks become accepted as direction without input from Program Offices and Contracting Officers. In these cases, informal relationships actually contribute to confusion over authorities, roles, and responsibilities because HQ Functional Offices and Program Offices are either in disagreement or are perceived to be in disagreement with a direction the Department is taking.

Principal findings/observations discussed in Chapter V include:

- Very few HQ managers identified mismatches between their responsibilities and authorities.
- Frustration was high with the HQ Budget Formulation Process (including the lack of integration between the Budget and Planning Processes), aspects of Budget Execution (tracking of expenditures, the inability to process grants and contracts electronically, management of the Program Direction account), the Institutional Planning Process, management of administrative and human resources, the lack of delineation between SC-80 and SC-3, the unavailability of technical journals/library resources, and communication between the Director's Office and the rest of SC.

Attachments

1. Headquarters Team Members
2. Headquarters "As Is" R2A2 Tables
3. Headquarters Function and Activities Matrix
4. *Histories and Authorities of the Office of Science* (Office of Planning and Analysis, March 2002)
5. Chapter 1
6. Chapter 2
7. Chapter 4
8. Chapter 5 (in progress—to be provided at a later date)

Attachment 1
Headquarters Team

John Alleva, Office of Resource Management

Pam Carter, Office of Resource Management

Leah Dever, Office of Laboratory Operations and Environment, Safety, and Health

Dennis Kovar, Office of High Energy and Nuclear Physics

Devon Streit, Office of the Director

Iran Thomas, Office of Basic Energy Sciences, Team Leader

Camille Torquato, Office of the Director

Jim Yeck, Fermi Area Office